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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant: Norman Arnold Turnquist, et al.

: Group Art Unit:

Serial No.: 09/683,254

: Examiner:

Filed: 12/05/01

:

For ACTUATED BRUSH SEALS

:

INFORMATION DISCLOSURE STATEMENT

1 **PTO-1449 Pursuant to 37 CFR 1.97(b)**
[within 3 months of filing or prior to 1st Office Action] N/C

2 **Statement Pursuant to 37 CFR 1.97(c)**
[before Final Office Action or Allowance] N/C

3 **Fee Payment Pursuant to 37 CFR 1.97(c)**
[before Final Office Action or Allowance] \$240.00

4 **Petition, Statement & Petition Fee Payment Pursuant to 37 CFR 1.97(d)**
[before issue fee payment] \$130.00

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FEB 28 2002

GROUP 3600

Honorable Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:

5 A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

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6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action] _____

7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and

8 The required Statement made in item 11 below; or

9 The \$240.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

10 37 CFR §1.97(d): [before issue fee payment]; and

- This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR §1.17(i) is authorized in item 14 below; and
- The required Statement is stated in item 11 below.

11 Statement under 37 CFR 1.97(e)

12 Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

13 No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

14 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

Respectfully submitted,

11-28-2001

Date

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FEB 28 2002

General Electric Company
CRD Patent Docket Rm 4A59
P.O. Box 8, Bldg. K-1 - Salamone
Schenectady, New York 12301
Customer Number: 006147

GROUP 3600

Attorney - Donald S. Ingraham

Registration No. 33,714

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

Date of Deposit

Type or Print Name

Signature

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| 449 (Title Amended 3/83) | | U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE | | | | ATTY. DOCKET NO. RD-28,657 | SERIAL NO. 09/683,254 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT-- LIST OF ITEMS (Use several sheets if necessary) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p style="text-align: center;">U.S. PATENT DOCUMENTS</p> <table border="1"> <thead> <tr> <th>*EXAMINER INITIAL</th> <th colspan="6">DOCUMENT NUMBER</th> <th>DATE</th> <th>NAME</th> <th>CLASS</th> <th>SUBCLASS</th> <th>FILING DATE IF APPROPRIATE</th> </tr> </thead> <tbody> <tr><td>AA</td><td>6</td><td>2</td><td>9</td><td>9</td><td>0</td><td>7</td><td>7</td><td>10/09/01</td><td colspan="3">Kenneth E. Harmon et al.</td></tr> <tr><td>AB</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AC</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AD</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AE</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AF</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AG</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AH</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AI</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AJ</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> <tr><td>AK</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td colspan="3"></td></tr> </tbody> </table> | | | | | | | | *EXAMINER INITIAL | DOCUMENT NUMBER | | | | | | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | AA | 6 | 2 | 9 | 9 | 0 | 7 | 7 | 10/09/01 | Kenneth E. Harmon et al. | | | AB | | | | | | | | | | | | AC | | | | | | | | | | | | AD | | | | | | | | | | | | AE | | | | | | | | | | | | AF | | | | | | | | | | | | AG | | | | | | | | | | | | AH | | | | | | | | | | | | AI | | | | | | | | | | | | AJ | | | | | | | | | | | | AK | | | | | | | | | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| EXAMINER | | | | DATE CONSIDERED | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |